

Applicant or Patentee: David Stern et al. Attorney's
Serial or Patent No.: Not yet known Docket No: 54202/JPW/SBS
Filed or Issued: Herewith
Title of Invention or Patent: A Method For Evaluating The Ability Of A Compound
To Inhibit Neurotoxicity

VERIFIED STATEMENT (DECLARATION) CLAIMING
SMALL ENTITY STATUS UNDER 37 C.F.R. §1.9(f)
AND §1.27(d) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: The Trustees of Columbia University in the City of New York

Address of Organization: 110 Low Memorial Library, West 116th & Broadway
New York, New York 10027

TYPE OF ORGANIZATION:

☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 U.S.C. §§501(a) and 501(c)(3)
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
NAME OF STATE: _____
CITATION OF STATUTE: _____
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 U.S.C. §§501(a) and 501(c)(3) IF LOCATED IN THE UNITED STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
NAME OF STATE: _____
CITATION OF STATUTE: _____

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. §1.9(e)* for purposes of paying reduced fees under 35 U.S.C. §41(a) and 41(b), with regard to the invention entitled A Method For Evaluating The Ability Of A Compound To Inhibit Neurotoxicity

by inventor(s) David Stern, Shi Du Yan and Benjamin Wolozin

described in:

☒ the specification filed herewith
☐ application serial no. _____ filed _____
☐ patent no. _____ issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive each individual, concern, or organization known to have rights to the invention is listed below^a and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 C.F.R. §1.9(d)* or a nonprofit organization under 37 C.F.R. 1.9(e)*

^a NOTE: Separate verified statements are required from each person, concern, or organization having rights to the invention averring to their status as small entities. 37 C.F.R. §1.27.

Name: N/A

Address: _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

0897454-1239
"SECRET"

Applicants: David Stern et al.
U.S. Serial No.: Not yet known
Filed: Herewith

Small Entity/Nonprofit
Page -2-

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. 37 C.F.R. §1.28(b)*.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Mr. Jack M. Granowitz
Title In Organization: Executive Director, Columbia Innovation Enterprise
Address: Amsterdam & 120th Street - Suite 363 New York, New York 10027

Signature: _____

Date Of Signature: _____

Jack M. Granowitz
December 4, 1997

08997464-122397

Applicant or Patentee: David Stern et al.

Attorney's

Serial or Patent No.: Not Yet Known

Docket No: 54202/JPW/SBS

Filed or Issued: Herewith

Title of Invention or Patent: A Method For Evaluating The Ability Of A Compound To Inhibit Neurotoxicity

JCS11 U.S. TO
08/997464
12/23/97

VERIFIED STATEMENT (DECLARATION) CLAIMING
SMALL ENTITY STATUS UNDER 37 C.F.R. §1.9(f)
AND §1.27(d) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: Loyola University of Chicago

Address of Organization: 2160 South 1st Avenue
Maywood, Illinois 60153

TYPE OF ORGANIZATION:

☒

UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION

TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 U.S.C. §§501(a) and 501(c)(3)

NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA

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by inventor(s) David Stern, Shi Du Yan and Benjamin Wolozin

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^aNOTE: Separate verified statements are required from each person, concern, or organization having rights to the invention averring to their status as small entities. 37 C.F.R. §1.27.

Name: N/A

Address: _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

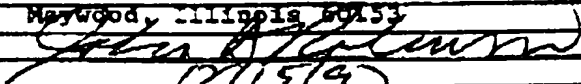
*See Reverse

Applicants: David Stern et al.
U.S. Serial No.: Not yet known
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Small Entity/Nonprofit
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: John A. Robinson. M.D.
Title In Organization: Associate Dean for Research
Address: 2160 South 1st Avenue
Maywood, Illinois 60153
Signature: 
Date Of Signature: 12/15/97

[illegible]

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below:

<u>Provisional Application No.</u>	<u>Filing Date</u>	<u>Status</u>
N/A		

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States Application(s), or Section 365(c) of any PCT International Application(s) designating the United States listed below. Insofar as this application discloses and claims subject matter in addition to that disclosed in any such prior Application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56, which became available between the filing date(s) of such prior Application(s) and the national or PCT international filing date of this application:

<u>Application Serial No.</u>	<u>Filing Date</u>	<u>Status</u>
N/A		

And I hereby appoint

John P. White (Reg. No. 28,678); Christopher C. Dunham (Reg. No. 22,031); Norman H. Zivin (Reg. No. 25,385); Jay H. Maioli (Reg. No. 27,213); William E. Pelton (Reg. No. 25,702); Robert D. Katz (Reg. No. 30,141); Peter J. Phillips (Reg. No. 29,691); Wendy E. Miller (Reg. No. 35,615); Richard S. Milner (Reg. No. 33,970); Albert Wai-Kit Chan (Reg. No. 40,837); Robert T. Maldonado (Reg. No. 38,232); Mary Anne P. Tanner (Reg. No. 40,197); Paul Teng (40,837); (Reg. No. 36,479); Gerard M. Wissing (Reg. No. 36,309); George M. MacDonald (Reg. No. 39,284); Richard F. Jaworski (Reg. No. 33,515); Elizabeth M. Wieckowski (Reg. No. P-42,226); Victor Devito (Reg. No. 36,325); Pedro C. Fernandez (Reg. No. P-41,741); William D. DeVaul (Reg. No. P-42,483); Todd A. Holmbo (Reg. No. P-42,665); and Steven J. Lieb (Reg. No. P-41,943)

and each of them, all c/o Cooper & Dunham LLP, 1185 Avenue of the Americas, New York, New York 10036, my attorneys, each with full power of substitution and revocation, to prosecute this application, to make alterations and amendments therein, to receive the patent, to transact all business in the Patent and Trademark Office connected therewith and to file any International Applications which are based thereon under the provisions of the Patent Cooperation Treaty.

Please address all communications, and direct all telephone calls, regarding this application to:

John P. White, Esq. Reg. No. 28,678
Cooper & Dunham LLP
1185 Avenue of the Americas
New York, New York 10036
Tel. (212) 278-0400

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or
first joint inventor David Stern

Inventor's signature David Stern

Citizenship United States of America Date of signature 7/17/98

Residence 63 Tanners Road, Great Neck, New York 11020

Post Office Address Same as residence

Full name of joint
inventor (if any) Shi Du Yan

Inventor's signature Shi Du Yan

Citizenship People's Republic of China Date of signature 7/17/98

Residence 60 Haven Avenue, Apartment 4-B, New York, New York 10032

Post Office Address Same as residence

Full name of joint
inventor (if any) Benjamin Wolozin

Inventor's signature _____

Citizenship United States of America Date of signature _____

Residence 215 South Monroe Street, Hinsdale, Illinois 60521-3921

Post Office Address Same as residence

Please address all communications, and direct all telephone calls, regarding this application to:

John P. White, Esq. Reg. No. 28,678
Cooper & Dunham LLP
1185 Avenue of the Americas
New York, New York 10036
Tel. (212) 278-0400

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Full name of sole or
first joint inventor David Stern

Inventor's signature _____

Citizenship United States of America Date of signature _____

Residence 63 Tanners Road, Great Neck, New York 11020

Post Office Address Same as residence

Full name of joint
inventor (if any) Shi Du Yan

Inventor's signature _____

Citizenship People's Republic of China Date of signature _____

Residence 60 Haven Avenue, Apartment 4-B, New York, New York 10032

Post Office Address Same as residence

Full name of joint
inventor (if any) Benjamin Wolozin

Inventor's signature 

Citizenship United States of America Date of signature 7/13/98

Residence 215 South Monroe Street, Hinsdale, Illinois 60521-3921

Post Office Address Same as residence